USBW

USAID CAPITAL MARKETS DEVELOPMENT

THE PRAGMA CORPORATION

USAID Broker Workplace User's Manual

Table of Contents

Chapter 1: Introduction

This is the manual for users of the Broker Workplace application. This document contains a description of the functions and capabilities of the software.

Brief Review

Broker Workplace is a software component of USMS USAID Securities Market Suite of software to provide computer infrastructure to a country's capital market.

This software grew out of a need for several utility functions by the traders. Rather than modify and alter the main focus of the trading system or provide traders access to the central depository software, this system was created. It provides services to facilitate depository activity, reports needed by the traders on their specific activities, and market monitoring capabilities.

The Broker Workplace software was designed as a web-based application. This provides the ability for a user on any computer, with the proper access permissions, to use the Internet and a simple web-browser software client to run this application.
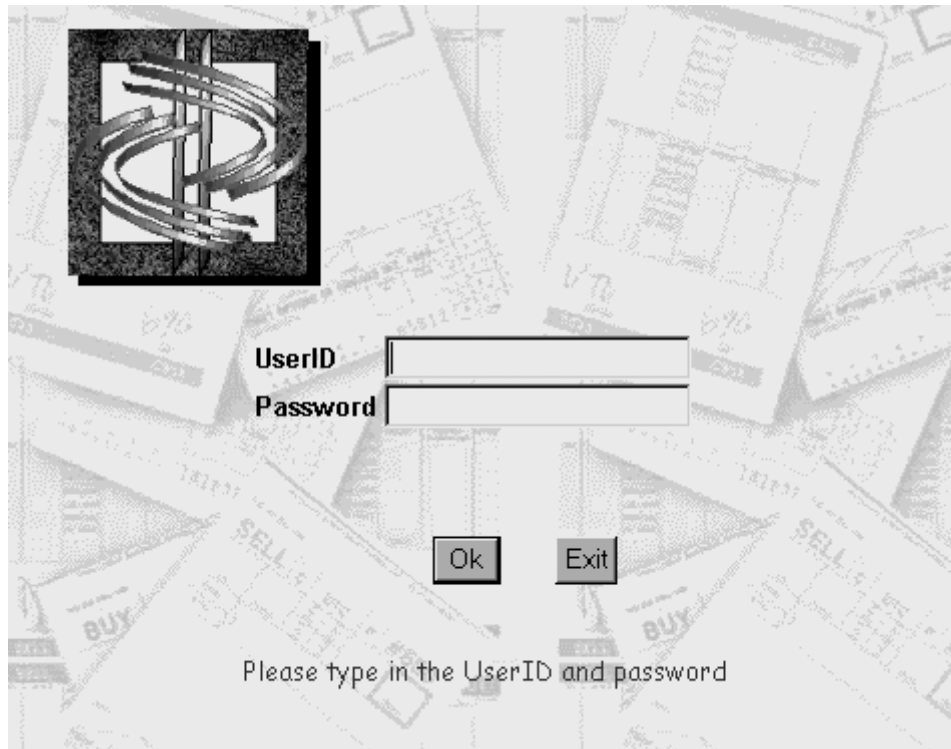
Main Functions of the Software

The main functions of the software are:

- Entering broker/dealer requests for the deposit of securities in the Central Depository

- Reviewing the deposit results (confirmation or rejection of the deposit issued by registrars)

- Providing brokers with the information on:

  - Listed securities,

  - All of the quotes and trades entered in the trading system for a specific time period

  - Filtered activity for a particular security

- Live viewing of the quotes and trades currently active on the stock exchange

- Miscellaneous report printing

- Downloadable data in spreadsheet format of activity results

Chapter 2: Starting the Software

Starting the System

This is the logon screen for the Broker's Workplace system:

Each broker using the system is assigned a unique user name and password. If the user name and password were entered incorrectly, the system will display the following message:

Chapter 3: Using USBW

This is the main screen for using the system. The left panel of this screen shows the functions available to a user of this system. These functions operate like any web browser page. The blue underlined words are really menu selections that a user clicks with the mouse and a new page is displayed that provides the clicked function.

These functions will be described in detail in the following paragraphs.

Making Deposits

After clicking on the ***Insert Deposits*** selection from the main menu this screen is displayed.

To make a deposit into nominee ownership at the Central Depository, enter the data on the securities owner, name and amount of securities, and the expected period that the securities will be held at the depository.

It is possible that this owner previously had securities deposited at the depository, so their passport information is already in the database. To avoid re-entering all data, select the Short Form check box by clicking and then fill out only those fields which are italicized. The software will try to find data on the owner by number and date of issuance of the passport. The system will send the following message if the data is not found.

Owner not found. Please enter data for the long form.

For the long form method of entering a deposit:

Enter the full passport data of the owner

Securities may be held both by legal entities and individuals, select the type of ownership from the drop-down listbox.

Legal entities should use the passport data section of this form to enter their corporate registration information as follows:

Number – the legal entity's state registration number

Issue Date - the date of state registration. Date to be entered in the yyyy/mm/dd format, e.g. July 3, 1996 will be entered as 1996/07/03. The date field will contain the current date by default.

Authority - the name of the organization the legal entity filed with, e.g.: Ministry of Justice, or Statistics Committee.

When entering a legal entity, use *Last name* and/or *First name* fields. For the information to be saved both fields have to be filled out, otherwise the system will display the following messages:

Press the space bar for one of these fields(to just enter a space) and enter the name of the company in the other one.

Individuals should fill out the Passport Data section of the form with the following information:

Type – with the serial number of passport. E.g.: **A** or **II-UC**

Number – passport number. E.g.: **567890**

Issue Date – date of issuance in the yyyy/mm/dd format, e.g. January 24, 1996 will be entered as 1996/01/24. The date field will contain current date by default. If the data in the field exceeds the current date then the following message will be displayed:

Authority – enter the name of the organization issued the passport. E.g. **МВД 50-03**

Period – is the anticipated period for transfer of securities to nominee ownership:

- One-day

- unlimited

Select the value for the field from the displayed menu.

If securities deposited for one day were not sold, at the end of the trading session, the deposit will be closed with the securities transferred back from nominee ownership at the Central Depository to the owner's account with the registrar. If the deposit is unlimited the shares will remain at the depository until manually transferred back to the registrar.

Registry Account Type account may have the following values:

- Account under management

- Owner's account

- Nominal holder's account

Select the data for the field from the menu displayed.

Country – enter the name of the country of residence of the securities owner or select one from the menu

City and **Address** - fill in manually with the data on the securities owner

Once the deposit is entered correctly, the system will display a message confirming the deposit and assigning an ID number:

Deposit request successfully inserted. Request ID is 224.

Deposit List

This function is used to view a list of deposits that the user has entered into the system. This list will show only the current user's deposits selected by various criteria described below.

DepositsFilter

All Deposits ☐
Open Deposits ☐
Date ☐

OK

It is possible to view all of the deposits or only open ones (valid and open) for the whole period of work on the system or by choosing certain dates. To view dates check the **Date** field and a window will appear to enter dates. The current date will appear by default in the yyyy/mm/dd format. Use this format to enter the dates.

DepositsFilter

All Deposits ☐	
Open Deposits ☑	
Date ☑	From 1999/12/9 To 1999/12/9

OK

After selecting the criteria, the following window will be displayed listing the deposits:

Deposits List

DepositID	Account	Passport Number	Last Name	First Name	Symbol	Quantity	Confirmed	Status
278	040000022	1349239	ТУРЧАК	ЕВГЕНИЯ	БЕРЕ	10	Yes	Открыт
279	040000022	1290787	ДОРОХОВА	ВЕРА	БЕРЕ	54	Yes	Открыт
281	040000022	0007667	ШАЛЯПИНА	АЛЕВТИНА	КТЕЛ	10	Yes	Открыт
282	040000022	0007667	ШАЛЯПИНА	АЛЕВТИНА	КЭН2	120	Yes	Открыт
337	040000022	539786	КИЗЕРОВ	ЕВГЕНИЙ	КЭН2	477	Yes	Открыт
352	040000022	0348732	КЛИНОВИЦКАЯ	СВЕТЛАНА	КТЕЛ	1935	Yes	Открыт
366	040000022	522896	КОЛОМЕЙЧЕНКО	ЕВГЕНИЙ	КЭН2	426	Yes	Открыт
370	040000022	704684	ХУТРЕНКО	ИВАН	КТЕЛ	1772	Yes	Открыт
372	040000022	702133	БАКИРОВ	АЛИМБЕК	КЭН2	535	Yes	Открыт
431	040000022	0380825	ДЖУРИНСКИЙ	НИКОЛАЙ	КПРп	6	Yes	Открыт
432	040000022	0380825	ДЖУРИНСКИЙ	НИКОЛАЙ	КПР1	3	Yes	Открыт
434	040000022	702403	КОМОЕДОВА	АЛЕКСАНДРА	БЕРЕ	90	Yes	Открыт
435	040000022	590924	ЭННС	ИВАН	КЭН2	1365	Yes	Открыт
436	040000022	618490	ИВАШКИН	НИКОЛАЙ	САНТ	207	Yes	Открыт
437	040000022	674668	ШАХБАНОВ	МАГОМЕД	САНТ	140	Yes	Открыт
490	040000022	584415	КАРГАЕВ	БЕЛЕК	КТЕЛ	1479	Yes	Открыт
492	060000020	0028514	ОМУРАЛИЕВ	ТУРАР	КТЕМ	5750	Yes	Открыт
493	060000020	0028514	ОМУРАЛИЕВ	ТУРАР	КТЕп	937	Yes	Открыт

Confirmed field has the value "*Yes*" if the securities transfer to the Central Depository is confirmed and value "*No*" in case the registrar refuses to transfer securities.

Status field may have the following value:

- **Open**   the deposit is completed and the shares are available. The deposit can also be cancelled.

- **Closed**   For a one-day deposit that was either involved in a trade and the shares have changed ownership or the shares were not involved in a trade and they were returned to the registry.
  For an unlimited time deposit, closed will indicate that the shares have been traded and ownership has changed.

- **Cancelled**   registrar did not confirm this deposit with the depository or the broker manually cancelled this deposit

Brokers have the opportunity to view information on the deposit entered or cancel the deposit entered by clicking on the underlined Deposit ID of the deposit they are interested in. The following window will appear:

To cancel the deposit press the button *Cancel*. To go back to the previous window press the *Exit* button.

Order for Deposit of Securities Form

Click on the underlined account number to print out an order for depositing securities. The following window will appear: This is an official form used for the transfer of securities from beneficial to nominee ownership. It can be printed using the print function of the web browser software.

Номер поручения <u>3</u>   Дата заполнения <u>16.3.2000</u>

Депонент <u>Pragma</u>

Номер счета «депо» | 060000012 |

Управляющая фирма <u>Pragma</u>

Наименование эмитента ценных <u>Kumtor Operation Company</u>

Вид ценных бумаг,государственный рег. номер, код ценных бумаг <u>KG0101234522</u>

Количество ценных бумаг (цифрами) | 356 |

(прописью) | ТРИСТА ПЯТЬДЕСЯТ ШЕСТЬ ШТ. |

Срок депонирования <u>Однодневный</u>

ЦЕННЫЕ БУМАГИ ПОСТУПАЮТ ОТ:

<u>ROBERTS TIM</u>

Документ, удостоверяющий личность, или данные о регистрации юридического лица

<u>A 239871, 10.3.1996, MFA</u>

Основание для депонирования:

а) договор о передаче в номинальное держание ЗАО ЦД №____ от «__» _____ 20___г.

б) договор-поручение №____ от «____» _____ 20___г.

в) _____

Перерегистрацию в реестре акционеров осуществляет ЗАО «Центральный депозитарий»

Наименование держателя реестра акционеров: <u>SRS Reestr</u>

Подпись уполномоченного лица Депонента _____ / Tim

                                              ФИО

Для заполнения персоналом ЗАО «Центральный Депозитарий»

Поручение принято и зарегистрировано за № _____

Отказано в принятии поручения по причине _____

Подпись уполномоченного сотрудника ЦД _____ / _____ /

                                              ФИО

Issuers List

From the main menu, click the **_Issuers List_** selection to display information on issuers and issues listed at the stock exchange:

<table>
<tr><th colspan="7">Issuers List</th></tr>
<tr><th>Issuer</th><th>City</th><th>ISIN</th><th>Symbol</th><th>Security Type</th><th>Industry</th><th>Market Price</th></tr>
<tr><td>"Иссык-Куль-банк" ИАКБ</td><td>Бишкек</td><td>KG0101007613</td><td>ИСКУ</td><td>акция простая</td><td>финансовая</td><td>0</td></tr>
<tr><td>"Иссык-Куль-банк" ИАКБ</td><td>Бишкек</td><td>KG0301007611</td><td>ИСКп</td><td>акция привилегированная</td><td>финансовая</td><td>0</td></tr>
<tr><td>"Тариз" АО Дом Моделей</td><td>Бишкек</td><td>KG0101030714</td><td>ТАРИ</td><td>акция простая</td><td>легкая</td><td>0</td></tr>
<tr><td>Adviser СКР</td><td>Бишкек</td><td>KG0101100913</td><td>АДВИ</td><td>акция простая</td><td>сфера обслуживания</td><td>0</td></tr>
<tr><td>ARPA-BGI-BBCo</td><td>Бишкек</td><td>KG0101095519</td><td>АРПА</td><td>акция простая</td><td>пищевая</td><td>5</td></tr>
<tr><td>International Business Bank</td><td>Бишкек</td><td>KG0101094371</td><td>ИНТЕ</td><td>акция простая</td><td>финансовая</td><td>0</td></tr>
<tr><td>OREMI</td><td>Бишкек</td><td>KG0101075511</td><td>ОРЕМ</td><td>акция простая</td><td>машиностроение</td><td>0</td></tr>
<tr><td>Аалам АФ ОКБ</td><td>Бишкек</td><td>KG0101059911</td><td>ААЛА</td><td>акция простая</td><td>машиностроение</td><td>0</td></tr>
<tr><td>Аалам АФ ОКБ</td><td>Бишкек</td><td>KG0301059919</td><td>ААЛп</td><td>акция привилегированная</td><td>машиностроение</td><td>0</td></tr>
<tr><td>Авиценна</td><td>Ош</td><td>KG0101066734</td><td>АВИЦ</td><td>акция простая</td><td>сфера обслуживания</td><td>0</td></tr>
<tr><td>Автобытсервис</td><td>Бишкек</td><td>KG0101038717</td><td>АвБС</td><td>акция простая</td><td>строительство</td><td>0</td></tr>
<tr><td>Авторемонтный завод</td><td>Кара - Балта</td><td>KG0101080420</td><td>АРЗ</td><td>акция простая</td><td>машиностроение</td><td>0</td></tr>
<tr><td>Авторемонтный завод</td><td>Кара - Балта</td><td>KG0301080428</td><td>АВ31</td><td>акция привилегированная</td><td>машиностроение</td><td>0</td></tr>
<tr><td>Автоучкомбинат</td><td>Бишкек</td><td>KG0101072419</td><td>АВТО</td><td>акция простая</td><td>сфера обслуживания</td><td>0</td></tr>
<tr><td>Агромаш</td><td>Бишкек</td><td>KG0101082913</td><td>АГРО</td><td>акция простая</td><td>сфера обслуживания</td><td>0</td></tr>
<tr><td>Агрохимсервисцентр АО</td><td>Джалал-Абад</td><td>KG0101131942</td><td>АГХИ</td><td>акция простая</td><td>химическая</td><td>0</td></tr>
<tr><td>Адис</td><td>с. Беловодское</td><td>KG0101013728</td><td>АДИС</td><td>акция простая</td><td>пищевая</td><td>0</td></tr>
<tr><td>Азат Домостроительная корпорация</td><td>Бишкек</td><td>KG0101089819</td><td>АЗАТ</td><td>акция простая</td><td>строительство</td><td>0</td></tr>
<tr><td>Айгуль</td><td>Бишкек</td><td>KG0101018917</td><td>АЙГ1</td><td>акция простая</td><td>легкая</td><td>0</td></tr>
<tr><td>Айгуль</td><td>Кара - Балта</td><td>KG0101138343</td><td>АЙГУ</td><td>акция простая</td><td>легкая</td><td>2.2</td></tr>
<tr><td>Айнур</td><td>Бишкек</td><td>KG0101009114</td><td>АЙНУ</td><td>акция простая</td><td>сфера обслуживания</td><td>0</td></tr>
<tr><td>Айчурек ЦУМ</td><td>Бишкек</td><td>KG0101134110</td><td>АЙЧУ</td><td>акция простая</td><td>сфера обслуживания</td><td>0</td></tr>
</table>

Trade Report

Click **_Trade Report_** from the main menu screen to view trade history by entering selection criteria:

<table>
<tr><th colspan="4">Transaction Filter</th></tr>
<tr><th colspan="2">Date</th><th colspan="2">Symbol</th></tr>
<tr><td>From 1999/12/9</td><td>To 1999/12/9</td><td colspan="2"></td></tr>
<tr><td colspan="4" align="center">All brokers trades ☐</td></tr>
<tr><td colspan="4" align="center">OK</td></tr>
</table>

Brokers can view the information on trades entered in the trading system:

- By their brokerage firm for a definite period of time

- By all brokers for the period

- Trades over a selected period of time for their own brokerage firm

- Trades over a selected period of time for all brokerage firms

This is the display for trades in selected securities for a selected period of time for all brokers:

Tr#	Date	Symbol	Security	Quantity	Price
8416	19/11/1999	БЕРЕ	"Береке-Инвест" акции простые	90	2.50
8391	16/11/1999	КАНТ	"Кантский цементно-шиферный комбинат" акции простые	284	5.01
8390	16/11/1999	КАНТ	"Кантский цементно-шиферный комбинат" акции простые	283	5.01
8610	1/12/1999	КАНТ	"Кантский цементно-шиферный комбинат" акции простые	829	4.50
8575	29/11/1999	КАНТ	"Кантский цементно-шиферный комбинат" акции простые	700	4.50
8418	19/11/1999	КПР1	"Кыргызпромстройбанк" акции простые	3	250.00
8417	19/11/1999	КПРп	"Кыргызпромстройбанк" акции привилегированные	6	50.00
8388	16/11/1999	КТЕЛ	"Кыргызтелеком" акции простые	1,772	5.50
8441	22/11/1999	КТЕЛ	"Кыргызтелеком" акции простые	5,174	6.09
8439	22/11/1999	КТЕЛ	"Кыргызтелеком" акции простые	3,027	6.09
8440	22/11/1999	КТЕЛ	"Кыргызтелеком" акции простые	2,000	6.09
8459	23/11/1999	КТЕЛ	"Кыргызтелеком" акции простые	124	5.52
8458	23/11/1999	КТЕЛ	"Кыргызтелеком" акции простые	1,479	5.52
8333	15/11/1999	КТЕЛ	"Кыргызтелеком" акции простые	1,935	5.60
8611	1/12/1999	КТЕЛ	"Кыргызтелеком" акции простые	166	5.20
8615	1/12/1999	КТЕЛ	"Кыргызтелеком" акции простые	69	5.20
8617	1/12/1999	КТЕЛ	"Кыргызтелеком" акции простые	187	5.30
8612	1/12/1999	КТЕЛ	"Кыргызтелеком" акции простые	44	5.01
8613	1/12/1999	КТЕЛ	"Кыргызтелеком" акции простые	497	5.30
8614	1/12/1999	КТЕЛ	"Кыргызтелеком" акции простые	1,107	5.40

Market Watch

Clicking the ***Market Watch*** selection from the main menu will show the current activity on the stock exchange system. It shows all active bids/asks and recently completed trades.

Market Watch

[Refresh]

		Quotes					Trades		
Symbol	Shares	PriceBid	PriceAsk	Date Time	Symbol	Shares	Price		Date Time
АЙЧУ	1,000	15		10/13/99 2:46:02 PM	ААЛА	76	5		12/6/99 1:47:38 PM
АКОР	139,486		50	11/29/99 10:47:23 AM	АКОР	54	8.31		12/6/99 12:07:17 PM
БКЕН	135	55		10/13/99 12:11:20 PM	АКОР	1	8.31		12/6/99 11:54:16 AM
ГУЛЬ	1,000	3		10/13/99 9:19:51 AM	АКОР	1	8.31		12/6/99 11:56:47 AM
ДАСТ	1,000	5.5		10/13/99 9:57:25 AM	АКОР	1	8.31		12/6/99 11:58:14 AM
ЖЫЛД	234		13	11/17/99 1:12:41 PM	АКОР	100	8.31		12/6/99 12:05:17 PM
ИНТЕ	24,480		13.57	12/6/99 2:02:33 PM	ИНТЕ	24,480	13.57		12/6/99 2:15:43 PM
КАВ1	82		250	11/16/99 1:51:58 PM	ИНТЕ	24,480	13.57		12/6/99 2:18:44 PM
КАКБ	6,000		4	11/17/99 1:13:27 PM	ИНТЕ	24,480	13.57		12/6/99 2:21:07 PM
КАКп	1,423		2.7	11/22/99 1:52:01 PM	ИНТЕ	24,480	13.57		12/6/99 2:05:59 PM
КАКп	294		2.5	11/17/99 1:15:30 PM	ИНТЕ	24,480	13.57		12/6/99 2:08:47 PM
КАНТ	733		9	10/12/99 11:34:05 AM	ИНТЕ	20,400	13.57		12/6/99 2:10:59 PM
КАНТ	83	4		11/30/99 9:57:54 AM	ИНТЕ	24,480	13.57		12/6/99 2:13:17 PM
КТЕЛ	10,000	5		11/30/99 1:34:21 PM	КТЕЛ	150	5.5		12/6/99 2:45:53 PM
КТЕЛ	2,000	5		12/6/99 12:29:05 PM	КТЕЛ	2,335	5.3		12/6/99 11:37:41 AM
КУРУ	10,000	5		11/3/99 1:28:50 PM	КТЕЛ	221	5.01		12/6/99 1:43:21 PM
КХИМ	71,175	1.7		11/18/99 4:02:25 PM	КТЕЛ	30	5		12/6/99 2:49:51 PM
КЗН2	2,500	2		12/6/99 12:28:12 PM	КТЕМ	301	2.56		12/6/99 1:54:42 PM
КЗН2	2,000	1.1		12/3/99 1:22:58 PM	КТЕп	23	2.56		12/6/99 1:55:58 PM
ТСАз	2,252		4.2	11/8/99 11:57:47 AM	НУРД	1,000	10		12/6/99 2:23:00 PM
ЗЛЕС	8,000		7	11/22/99 12:10:08 PM	НУРД	1,007	10		12/6/99 2:25:33 PM
					ЧУЙИ	84	4		12/6/99 12:11:45 PM

This screen reflects real information on bids and trades entered in the trading system as of the current moment. The information on the screen automatically updates every 30 seconds. If needed, the information can be updated manually by pressing the **Refresh** button.

New orders and trades entered the system are red highlighted within 5 minutes after entering.

Quote Statistics

From the main menu, click the **QuoteStats** selection to view statistics on the trading activity of the stock exchange.

This screen displays statistical information on the orders entered in the trading system as of the current moment. The information on the screen is automatically updated every 8 minutes. If needed, the information can be updated manually by pressing the Refresh button.

It is possible to view the following information on each of the securities involved in trading:

- Best price for sale of securities specifying amount of shares

- Best price for purchase of securities specifying amount of shares

- Amount of shares sold today as of the current moment

To view more detailed information on the securities select one from the list by clicking on the Symbol field.

This will show all of the bids entered and trades completed for the selected security.

Calculator

For the convenience of the broker's work, the system provides a calculator within the program. It is available by clicking on the *Calculator* selection.

The end of the

USAID Broker Workplace

User's Manual